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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:  
SERIAL NO.  
FILING DATE:  
INVENTION:

Asatsuma, T. et al.  
10/719,206  
November 21, 2003

ATTORNEY DOCKET NO. 09794353-0031  
GROUP ART UNIT: 2811  
EXAMINER: Not yet assigned

METHOD OF MANUFACTURING A SEMICONDUCTOR LIGHT EMITTING DEVICE,  
SEMICONDUCTOR LIGHT EMITTING DEVICE, METHOD OF MANUFACTURING A  
SEMICONDUCTOR DEVICE, SEMICONDUCTOR DEVICE, METHOD OF  
MANUFACTURING A DEVICE, AND DEVICE



Mail Stop Amendment  
Commissioner for Patents  
Alexandria, VA 22313-1450  
Sir:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

Submitted herewith is an Information Disclosure Statement for consideration in the above-identified application. This Information Disclosure Statement is submitted:

- ☒ Within 3 months (1) of filing date of a national application; (2) of date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or (3) before the mailing date of a first Office Action on the merits, whichever occurs last. (No fee is required.)
- ☐ After the mailing date of a first Office Action but before (1) mailing of a final action under 37 C.F.R. §1.113; or (2) mailing of a notice of allowance under §1.311, whichever occurs first.
- ☐ Payment for the fee set forth in 37 C.F.R. §1.17(p) accompanies this submission; or
- ☐ The certification specified in 37 C.F.R. §1.97(e) is made below. (No fee is required.)
- ☐ After the mailing of (1) a final action under 37 C.F.R. §1.113; or (2) a notice of allowance under 37 C.F.R. §1.311 whichever occurs first, but **before** payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) is made below. The Commissioner hereby is petitioned to consider the Information Disclosure Statement accompanying this submission. Payment for the Petition fee set forth in 37 C.F.R. §1.17(i)(1) accompanies this submission.
- ☐ The undersigned counsel for applicant(s) hereby certifies each item of information identified in the Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ The undersigned counsel for applicant(s) hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application, or to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☐ Payment by Credit Card. PTO Form 2038 in the amount of \$180.00 is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 19-3140. *A duplicate copy of this sheet is enclosed for this purpose.*

Very respectfully,

SONNENSCHN NATH & ROSENTHAL LLP

By David R. Metzger Reg. 32,919  
David R. Metzger  
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When phoning re this application,  
please call (312) 876-8000

CERTIFICATE OF MAILING

I hereby certify that this Information Disclosure Statement is being deposited with the United States Postal Service as in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 via first class mail on August 27, 2004

Paula M. Theismann  
Paula M. Theismann

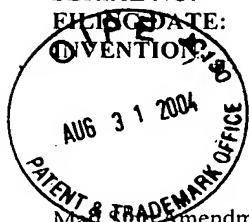
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SONNENSCHN NATH & ROSENTHAL LLP

By David R. Metzger Reg. 32,919  
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please call (312) 876-8000

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Paula M. Theismann  
Paula M. Theismann



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT

APPLICANT(S): Asatsuma, T. et al.

DOCKET NO.: 09794353-0031

SERIAL NO.: 10/719,206

GROUP ART UNIT: 2811

DATE FILED: November 21, 2003

EXAMINER: Not yet assigned

INVENTION: METHOD OF MANUFACTURING A SEMICONDUCTOR LIGHT  
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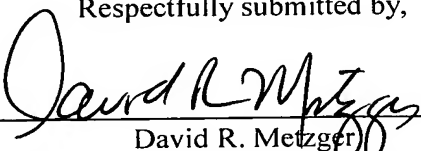
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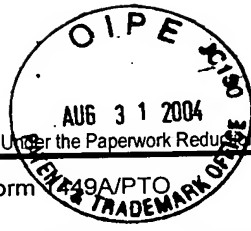
In accordance with the provisions of 37 C.F.R. § 1.56, Applicants request that citation and examination of the references identified on the attached PTO-1449 form, copies of which are enclosed herewith in accordance with 37 C.F.R. §1.98, be made during the course of examination of the above-referenced application for United States Letters Patent.

It is believed that these items relate to methods of making semiconductor LEDs of the type described in the background section of the application.

Respectfully submitted by,

 (Reg. 32,919)  
David R. Metzger

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|   |      |                          |                  |
|---|------|--------------------------|------------------|
| <b>Substitute for form 49A/PTO</b><br><b>INFORMATION DISCLOSURE</b><br><b>STATEMENT BY APPLICANT</b><br><br>(use as many sheets as necessary) |      | <b>Complete if Known</b> |                  |
|   |      | Application Number       | 10/719,206       |
|   |      | Filing Date              | 11/21/2003       |
|   |      | First Named Inventor     | Asatsuma, T.     |
|   |      | Group Art Unit           | 2811             |
|   |      | Examiner Name            | Not yet assigned |
| Sheet 1   | of 1 | Attorney Docket Number   | 09794353-0031    |

| U.S. PATENT DOCUMENTS |                       |  |                                |  |   |
|-----------------------|-----------------------|--|--------------------------------|--|---|
| Examiner Initials*    | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages or<br>Relevant Figures Appear |
|                       |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                       | A1                    | US-20010038655                           | 11/08/2001                     | Tanaka, T.   |   |
|                       |                       | US-                                      |                                |  |   |
|                       |                       | US-                                      |                                |  |   |

| FOREIGN PATENT DOCUMENTS |                       |   |                                |  |   |                          |
|--------------------------|-----------------------|---|--------------------------------|--|---|--------------------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Number   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages or<br>Relevant Figures Appear | T <sup>6</sup>           |
|                          |                       | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |  |   |                          |
|                          | B1                    | JP11-103135 (English abstract only)   | 04/13/1999                     | Mitsubishi Cable Ind. Ltd.                         |   | <input type="checkbox"/> |
|                          | B2                    | JP11-195813 (English abstract only)   | 07/21/1999                     | Toshiba Electronic Engineering Corp.               |   | <input type="checkbox"/> |
|                          | B3                    | JP11-238687 (English abstract only)   | 08/31/1999                     | Richo Co. Ltd.                                     |   |                          |
|                          | B4                    | JP2000-21789 (English abstract only)  | 01/21/2000                     | Toshiba Corp.                                      |   |                          |
|                          | B5                    | JP2000-164929 (English abstract only)   | 06/16/2000                     | Sony Corp.   |   |                          |
|                          | B6                    | JP2000-353669 (English abstract only)   | 12/19/2000                     | Matsushita Electronics Industry Corp.              |   |                          |
|                          | B7                    | JP2001-257193 (English abstract only)   | 09/21/2000                     | Xerox Corp.  |   |                          |
|                          | B8                    | JP2002-033512 (English abstract only)   | 01/31/200                      | Nichia Chem Ind. Ltd.                              |   | <input type="checkbox"/> |
|                          | B9                    | JP2003-078214 (English abstract only)   | 03/14/2003                     | NEC Corp.  |   | <input type="checkbox"/> |
|                          |                       |   |                                |  |   | <input type="checkbox"/> |

|                    |                 |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Approved for use through 10/31/2002. OMB 0651-0031

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|  |   |                               |                   |
|--|---|-------------------------------|-------------------|
| Substitute for form 1449B/PTO                            |   | <b>Complete if Known</b>      |                   |
|  |   | <b>Application Number</b>     | 10/719,206        |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b> |   | <b>Filing Date</b>            | November 21, 2003 |
|  |   | <b>First Named Inventor</b>   | Asatsuma, T.      |
|  |   | <b>Group Art Unit</b>         | 2811              |
|  |   | <b>Examiner Name</b>          | Not yet assigned  |
|  |   | <b>Attorney Docket Number</b> | 09794353-0031     |
| Sheet  | 1 | of                            | 1                 |

(use as many sheets as necessary)

| OTHER ITEMS – NON PATENT LITERATURE DOCUMENTS |                          |   |                |
|---|--------------------------|---|----------------|
| Examiner<br>Initials*                         | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|   | A1                       | Suzuki, M., "Review on Future Ferroelectric Nonvolatile Memory FeRAM", Journal of the Ceramic Society of Japan, Vol. 103. No. 11 (1995) pp.1099-1111  |                |
|   | A2                       | Suzuki, M. et al, "A Proposal of Epitaxial Oxide Thin film Structures for Future Oxide Electronics", Materials Science and Engineering B41 (1996) pp 166-173  |                |
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|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

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<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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